

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 2**Complete if Known**

Application Number	10/812,902
Filing Date	March 31, 2004
First Named Inventor	Craig Farr
Art Unit	To be assigned
Examiner Name	To be assigned
Attorney Docket Number	SSB0004

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
N.J. ↑ ↓ N.J.	1	US- 2002/0133442 A1	09/19/2002	Laycock	
	2	US- 2003/0093375 A1	05/15/2003	Green et al.	
	3	US- 2003/0130941 A1	07/10/2003	Birle, Jr., et al.	
	4	US- 2003/0225656 A1	12/04/2003	Aberman et al.	
	5	US- 2004/0039669 A1	02/26/2004	Jones et al.	
	6	US- 2004/0098327 A1	05/20/2004	Seaman	
	7	US- 2004/0133494 A1	07/08/2004	Jones et al.	
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

Examiner  
Signature

N. J. Subra

Date  
Considered

8/23/05

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NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
N-J	1	Petersen, J.E., "Innovations in Tax Exempt Instruments and Transactions", National Tax Journal, Vol. 44, No. 4, pp. 11-28, December 1991	
↑	2	Wofe, George G. et al., "Certain legal aspects of secondary market municipal derivative products", Business Lawyer, Vol. 49, No. 4, pp. 1629-1689, August 1994	
	3	Freeman, Louis S. et al., "Tax consequences of business and investment-driven uses of derivatives", Taxes, Vol. 72, No. 12, pp. 947-994, December 1994	
	4	"Raising debt at a cost below prevailing market rates", International Tax, pp. 21-40, June 2000	
	5	Wallace, P. Woodbridge et al., "Do You Have Derivatives Lurking in Your Hybrids?", Bank Accounting & Finance, Vol. 13, No. 3, pp. 35+, Spring 2000	
N.S.	6	Ricks, Jo Lynn et al., "FSA Forgoes Conventional Wisdom in Characterizing a Remarketing Payment Under a Callable/Puttable Bond", The Tax Advisor, Vol. 33, No. 3, pp. 168-170, March 2002	

Examiner Signature	<u>N. Autors</u>	Date Considered	<u>8/23/05</u>
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